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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b>		<b>Applicant(s)</b>	
	10/720,792		RUSSELL ET AL.	
	<b>Examiner</b>		<b>Art Unit</b>	
	Cam Y T. Truong		2162	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 06 December 2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

1. Applicant has amended claims 1, 3, 8, 11, 14, 16, 19, 21, 23, 28, and 30 in the amendment filed on 12/6/2007.

Claims 1-32 are pending in this Office Action.

### ***Response to Arguments***

2. Applicant's arguments with respect to claims 1-32 have been considered but are moot in view of the new ground(s) of rejection.

Applicant argued that the combination of Thread and Van Huben, and Threaling and Miller fail each and every element of the claimed invention of claim 1.

Examiner respectfully disagrees. Threaling teaches the claimed limitation: at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the data mining system comprising:" as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

“ computerized data mining system” as (fig. 12);

“ a data exploration system for receiving and analyzing user data to provide statistical information about the user data” as an application system for analysis and selection of stored information in a database. The database contains records correspond to individuals, the individual's age, address, and income. The database is provided that includes both training data and test data. The training data is provided to a model builder 14 for computing a probability, e.g., a probability that a customer would respond favorably to a mailing. The above information shows that the system analyzes

the customer data to provide probability as statistical about the customer data (col. 1, lines 33-34, lines 60-65; col. 2, lines 1-23);

“a customized model system for generating and ranking customized data mining models” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and

“for executing a selected customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),

“wherein the customized data mining models are generated” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“an existing model system for selecting at least one existing data mining model from a library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

“outputting a result” as (figs. 5 &6).

Thearling does not explicitly teach the claimed limitation “in parallel based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager so includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel using iterations based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as

model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

Applicant argued that Thearling does not teach “generating customized data models in parallel using multiple iterations”.

In response to applicant argument, Examiner addressed the above claimed limitation in the below office action.

For the above reason, Examiner believed that the combination of cited arts teaches the claimed invention.

### ***Claim Objections***

3. Claim 11 is objected to because of the following informalities: The phrase “executing system system” in claim 11, line 6 should be written as “executing system” . Appropriate correction is required.

### ***Claim Rejections - 35 USC § 112***

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4. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

5. Claims 1-32 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

6. The limitation “wherein the customized data mining models are generated in parallel using multiple iterations or generating the customized data mining models in parallel using multiple iterations or wherein the existing data mining models have been generated in parallel using multiple iterations” in claims 1, 3, 8, 11, 14, 16, 19, 21, 23,28, and 30, was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s).

The dependent claims of these claims are rejected under the same reason as discussed in claims 1, 3, 8,11,14, 16, 19, 21, 23,28, and 30.

- **35 USC § 101**

- **7.** The terminology “recordable medium” in claims 21-32, is used to store a program product (specification, paragraph 0017). Thus, this medium is a hardware memory.

***Claim Rejections - 35 USC § 103***

8. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. Claims 1-4, 7-9, 11-12, 14-15, 19, 21-24, 27-29 and 30-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Van Huben (US 6094654).

As to claims 1 and 21, Thearling teaches the claimed limitations:

“at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the data mining system comprising:” as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

“ computerized data mining system” as (fig. 12);

“ a data exploration system for receiving and analyzing user data to provide statistical information about the user data” as an application system for analysis and selection of stored information in a database. The database contains records correspond to individuals, the individual's age, address, and income. The database is provided that includes both training data and test data. The training data is provided to a model builder 14 for computing a probability, e.g., a probability that a customer would respond favorably to a mailing. The above information shows that the system analyzes



the customer data to provide probability as statistical about the customer data (col. 1, lines 33-34, lines 60-65; col. 2, lines 1-23);

“a customized model system for generating and ranking customized data mining models” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and

“for executing a selected customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),

“wherein the customized data mining models are generated” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“an existing model system for selecting at least one existing data mining model from a library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

“outputting a result” as (figs. 5 &6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager so includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel using iterations based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as

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model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

As to claims 2 and 22, Thearling teaches the claimed limitation “a data submission system for submitting the user data” as a database includes one or more tables, with rows of the table corresponding to individual records. The above information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20).

“a parameter designation system for designating the business parameters” as (col. 8, lines 25-33).

As to claim 3, Thearling teaches the claimed limitations:

“a model generation system for iteratively generating the customized data mining models in parallel based on the permutations of at least one of the user data, the business parameters and the set of model generation algorithms” as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“ a model ranking system for ranking the customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“ for identifying a predetermined quantity of the ranked customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“a customized model selection system for selecting at least one customized mining model from the predetermined quantity” as the campaign manager could automatically select the order of models. The selection could be based, for example, on the anticipated computation time for scoring an individual record. Thus, those models that require less computation time may be selected before models, which require greater computation time (col. 13, lines 35-43);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager so includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel using iterations based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as

model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

As to claim 4, Thearling teaches the claimed limitation:

“a model library system for assembling the library of existing data mining models based on the business parameters, and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models” as (fig. 8, col. 9, lines 40-43; col. 10, lines 61-62) ;

“an existing model selection system for selecting the at least one existing data mining model from the library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62);

“an existing model execution system for executing the at least one existing data mining model on the user data in parallel” as (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

a existing model comparison system for comparing results of the execution of the at least one existing data mining model” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected model is

executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

As to claim 24, is rejected under the same reason as discussed in claim 4

As to claim 23 recites the same limitations as referred to claim 3. Therefore, claim 23 is rejected under the same rational.

Claim 28 is rejected under the same reason as discussed in claim 8.

As to claims 7, 9, 27 and 29, Thearling teaches the claimed limitation "wherein the computerized data mining system is implemented in a network environment" as (col. 2, lines 1-10).

As to claim 8, Thearling teaches the claimed limitations:

"at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the model generation system comprising:" as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

" model generation system for generating the customized data mining models" as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“a model ranking system for ranking the customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“for identifying a predetermined quantity of the ranked customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“ for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“a customized model selection system for selecting at least one customized mining model of the customized data mining models” as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62),



“outputting a result” as (figs. 5&6),

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager Iso includes utilities to

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delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

As to claim 14, Thearling teaches the claimed limitations:

"providing user data and business parameters" as a database includes one or more tables, with rows of the table corresponding to individual records. The above information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20);

"generating a plurality of customized data mining models" as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“ranking the plurality of customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and;

“selecting at least one customized data mining model from the ranked plurality of customized data mining models”; a as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“executing the selected at least one customized data mining model on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file

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importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager so includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

As to claim 15, Thearling teaches the claimed limitation "identifying a predetermined quantity of the ranked plurality of customized data mining models" as a

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model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45),

“providing comparative data corresponding to the predetermined quantity of the ranked plurality of customized data mining models, prior to the selecting step” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45).

As to claim 11, Thearling teaches the claimed limitations:

“at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the model selecting and executing system comprising:” as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

“a model library system for assembling a library of existing data mining models based on a business parameters and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models” as executing models in the library based on the business parameters (fig. 8; col. 9, lines 40-45);

“and existing model selection system for selecting a plurality of existing data mining models from the library of existing data mining models” as displaying modes and comparing data corresponding to modes (fig. 8);

“an existing model execution system for executing the plurality of existing data mining models on the user data in parallel” as run the model against one or more

records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).; and

“ an existing model comparing system for comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45),

“wherein the existing data mining models have been iteratively generated” as (col. 8, lines 15-25)

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our

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preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager Iso includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30) and further to quickly and easily provide the results of one or more process models to line operators and process engineers during the manufacturing process, allowing the process engineer or line operator to more readily understand and adjust the manufacturing process.

A to claim 19, Thearling teaches the claimed limitations:

“providing user data and business parameters” as providing a database and other parameters as business parameters (col.1, lines 60-65; col. 2, lines 12-20);

“ displaying the library of existing data mining models and comparative data corresponding to the library of data mining models” as displaying modes and comparing data corresponding to modes (fig. 8);

assembling a library of existing data mining models based on the business parameters” as executing models in the library based on the business parameters (col. 9, lines 40-45);

“selecting a plurality of existing data mining model from the library of existing data mining models” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),

“ executing the plurality of existing data mining model on the user data in parallel” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).; and

“ comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45),

“wherein the existing data mining models have been generated” as (col. 8, lines 25-30),



“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations”.

Van Huben teaches multiple models are to be built in parallel since to achieve this task the user must set up multiple Working Areas to use as model build areas (col. 158, lines 54-61).

Models can be created by interactive data entry on the part of the user, by importing a text file listing all the members of the Model in a prescribed way, or by an innovative library search feature. Furthermore, an Application Program Interface allows third party tools to couple the library search mechanism with the file importing scheme to automatically create models as an extension of the process. Our preferred embodiment interacts with the Authority Manager to control who Can create models and who can promote them through the DMS. Model Create and Promote authority can be granted in a broad fashion where a user can create and move any Model in the system, or a user's authority can be restricted down to a specific library, level, version and type of data. Our Aggregation Manager Iso includes utilities to delete Models, delete components of an existing Model, transfer ownership of a Model to another user, incrementally add new members to an existing Model, and view the current status of the Model (col. 87, lines 5-30). The above information shows models are created in parallel using multiple iterations based on permutations of user data or set of model algorithms.

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Van Huben's teaching of multiple models are to be built in parallel based on permutation of set of model algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members (col. 87, lines 5-30).

Claim 30 is rejected under the same reason as discussed in claims 11 and 19.

As to claims 12 and 31, Thearling teaches the claimed limitation "wherein the at least one existing data mining model is executed on the user data in a grid environment" as (fig. 8).

10. Claims 5, 10, 18, 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Van Huben (US 6094654). and further in view of Mani et al (or hereinafter "Mani") (US 6677963) and Hofmann (US 6687696).

As to claims 5, 10, 18, 25, Thearling teaches the claimed limitation "a set of model goals" as (fig. 10D). Thearling does not explicitly teach the claimed limitation

“wherein the business parameters comprise a business taxonomy, a set of business problems”

Mani teaches business problems (col. 3, lines 65-67). Hofmann teaches the automatic categorization of documents categorizes the data into existing taxonomies (col. 17, lines 15-20).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Mani’s teaching of business problem and Hofmann’s teaching of automatic categorization of documents categorizes the data into existing taxonomies to Thearling’s system in order to provide a set of categories of models along with the relevant document information or business problem so that a user can view/search the models easily in order.

Claims 6, 17 and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Van Huben (US 6094654) further in view of Miller (US 6553366) (or hereinafter “Miller66”).

As to claims 6, 17 and 26, Thearling does not explicitly teach the claimed limitation “ wherein the statistical information comprises data relationships, data outliners, invalid data values and standard deviations”. Miller66 teaches statistical information includes relationships and standard deviations (col 7, lines 55-67).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller66’s teaching of statistical information includes

relationships and standard deviations to Thearling's system in order to perform data mining applications in a massively parallel relational database management system.

11. Claim 16 is rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Van Huben (US 6094654) and further in view of King Jr et al (or hereinafter "King") (US 20020042731).

As to claim 16, Thearling does not explicitly teach the claimed limitation

"generating a plurality of customized data mining models using multiple iterations in a grid environment based on the multiple permutations; forming multiple permutations of at least one of the user data, the business parameters and the set of model generation algorithms".

King teaches Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE model is also referred to as a 9-Blocker tool (or in a more general case, a multi-blocker tool) (paragraph [0116]).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply King's teaching of Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE

model is also referred to as a 9-Blocker tool to Thearling's system in order to provide a correct model corresponding to business problem.

12. Claims 13, 20 and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Van Huben and further in view of Mani et al (or hereinafter "Mani") (US 6677963) and Hofmann (US 6687696).

As to claims 13, 20 and 32, Thearling teaches the claimed limitation "a set of model goals" as (fig. 10D). Thearling does not explicitly teach the claimed limitation "wherein the business parameters comprise a business taxonomy, a set of business problems"

Mani teaches business problems (col. 3, lines 65-67). Hofmann teaches the automatic categorization of documents categorizes the data into existing taxonomies (col. 17, lines 15-20).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Mani's teaching of business problem and Hofmann's teaching of automatic categorization of documents categorizes the data into existing taxonomies to Thearling's system in order to provide a set of categories of models along with the relevant document information or business problem so that a user can view/search the models easily in order.

13. Claims 1-4, 7-9, 11-12, 14-15, 19, 21-24, 27-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Miller (US 6826556).

As to claims 1 and 21, Thearling teaches the claimed limitations:

“ computerized data mining system” as (fig. 12);

“ a data exploration system for receiving and analyzing user data to provide statistical information about the user data” as an application system for analysis and selection of stored information in a database. The database contains records correspond to individuals, the individual’s age, address, and income. The database is provided that includes both training data and test data. The training data is provided to a model builder 14 for computing a probability, e.g., a probability that a customer would respond favorably to a mailing. The above information shows that the system analyzes the customer data to provide probability as statistical about the customer data (col. 1, lines 33-34, lines 60-65; col. 2, lines 1-23);

“a customized model system for generating and ranking customized data mining models” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and

“for executing a selected customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),

“wherein the customized data mining models are generated” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“an existing model system for selecting at least one existing data mining model from a library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller’s teaching of building models in parallel to Thearling’s system in order to allow data mining of large databases.

As to claims 2 and 22, Thearling teaches the claimed limitation “a data submission system for submitting the user data” as a database includes one or more tables, with rows of the table corresponding to individual records. The above

information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20).

“a parameter designation system for designating the business parameters” as (fig. 7).

As to claim 3, Thearling teaches the claimed limitations:

“a model generation system for generating the customized data mining models” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“ a model ranking system for ranking the customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“ for identifying a predetermined quantity of the ranked customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“a customized model selection system for selecting at least one customized mining model from the predetermined quantity” as the campaign manager could automatically select the order of models. The selection could be based, for example, on the anticipated computation time for scoring an individual record. Thus, those models



that require less computation time may be selected before models, which require greater computation time (col. 13, lines 35-43);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller's teaching of building models in parallel to Thearling's system in order to allow data mining of large databases.

As to claim 4, Thearling teaches the claimed limitation:

“a model library system for assembling the library of existing data mining models based on the business parameters, and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models” as (fig. 8, col. 9, lines 40-43; col. 10, lines 61-62) ;

“an existing model selection system for selecting the at least one existing data mining model from the library of existing data mining models” as selecting one of the

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models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62);

“an existing model execution system for executing the at least one existing data mining model on the user data in parallel” as (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

a existing model comparison system for comparing results of the execution of the at least one existing data mining model” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected model is executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

Claim 24 is rejected under the same reason as discussed in claim 4

Claim 23 is rejected under the same reason as discussed in claim 3.

Claim 28 is rejected under the same reason as discussed in claim 8.

As to claims 7, 9, 27 and 29, Thearling teaches the claimed limitation “wherein the computerized data mining system is implemented in a network environment” as (col. 2, lines 1-10).

As to claim 8, Thearling teaches the claimed limitations:

“a model generation system for generating the customized data mining models” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“a model ranking system for ranking the customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“for identifying a predetermined quantity of the ranked customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“ for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as regenerate and run the models against one or more records in a database based on permutations of at least one of the user data, business parameters and a set of model generation algorithms but not in parallel (col. 8, lines 25-30);

“a customized model selection system for selecting at least one customized mining model of the customized data mining models” as regenerate and run the models against one or more records in a database in parallel based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and “for executing the selected at least one existing data mining model” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller’s teaching of building models in parallel to Thearling’s system in order to allow data mining of large databases.

As to claim 11, Thearling teaches the claimed limitations:

“a model library system for assembling a library of existing data mining models based on a business parameters and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models” as

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executing models in the library based on the business parameters (fig. 8; col. 9, lines 40-45);

“wherein the existing data mining models have been generated” as (col. 8, lines 25-30),

“and existing model selection system for selecting a plurality of existing data mining models from the library of existing data mining models” as displaying modes and comparing data corresponding to modes (fig. 8);

“an existing model execution system for executing the plurality of existing data mining models on the user data in parallel” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

“ an existing model comparing system for comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45).

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations”.

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller’s teaching of building models in parallel to Thearling’s system in order to allow data mining of large databases.

As to claims 12 and 31, Thearling teaches the claimed limitation “wherein the at least one existing data mining model is executed on the user data in a grid environment” as (fig. 8).

As to claim 14, Thearling teaches the claimed limitations:

“providing user data and business parameters” as a database includes one or more tables, with rows of the table corresponding to individual records. The above information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20);

“iteratively generating a plurality of customized data mining models ” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“ranking the plurality of customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and;

“selecting at least one customized data mining model from the ranked plurality of customized data mining models”; a as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“executing the selected at least one customized data mining model on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller's teaching of building models in parallel to Thearling's system in order to allow data mining of large databases.

As to claim 15, Thearling teaches the claimed limitation “identifying a predetermined quantity of the ranked plurality of customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45),

“providing comparative data corresponding to the predetermined quantity of the ranked plurality of customized data mining models, prior to the selecting step” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45).

A to claim 19, Thearling teaches the claimed limitations:

“providing user data and business parameters” as providing a database and other parameters as business parameters (col.1, lines 60-65; col. 2, lines 12-20);

“ displaying the library of existing data mining models and comparative data corresponding to the library of data mining models” as displaying modes and comparing data corresponding to modes (fig. 8);

assembling a library of existing data mining models based on the business parameters” as executing models in the library based on the business parameters (col. 9, lines 40-45);

“selecting a plurality of existing data mining model from the library of existing data mining models” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),



“executing the plurality of existing data mining model on the user data in parallel” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).; and

“comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45),

“wherein the existing data mining models have been generated” as (col. 8, lines 25-30),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations”.

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Miller teaches building models in parallel using multiple iterations based on permutations of user data (fig. 6, col. 3, lines 5-25; col. 6, lines 5-65).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller’s teaching of building models in parallel to Thearling’s system in order to allow data mining of large databases.

Claim 30 is rejected under the same reason as discussed in claims 11 and 19.

14. Claims 5, 10, 13, 18, 20, 25 and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Miller (US 6826556) and further in view of Mani et al (or hereinafter "Mani") (US 6677963) and Hofmann (US 6687696).

As to claims 5, 10, 13, 18, 20, 25 and 32, Thearling teaches the claimed limitation "a set of model goals" as (fig. 10D). Thearling does not explicitly teach the claimed limitation "wherein the business parameters comprise a business taxonomy, a set of business problems"

Mani teaches business problems (col. 3, lines 65-67). Hofmann teaches the automatic categorization of documents categorizes the data into existing taxonomies (col. 17, lines 15-20).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Mani's teaching of business problem and Hofmann's teaching of automatic categorization of documents categorizes the data into existing taxonomies to Thearling's system in order to provide a set of categories of models along with the relevant document information or business problem so that a user can view/search the models easily in order.

15. Claims 6, 17 and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Miller (US 6826556) and further in view of Miller (US 6553366) (or hereinafter "Miller66").

As to claims 6, 17 and 26, Thearling does not explicitly teach the claimed limitation “ wherein the statistical information comprises data relationships, data outliers, invalid data values and standard deviations”. Miller66 teaches statistical information includes relationships and standard deviations (col 7, lines 55-67).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller66’s teaching of statistical information includes relationships and standard deviations to Thearling’s system in order to perform data mining applications in a massively parallel relational database management system.

16. Claim 16 is rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Miller (US 6826556) and further in view of King Jr et al (or hereinafter “King”) (US 20020042731).

As to claim 16, Thearling does not explicitly teach the claimed limitation “ generating a plurality of customized data mining models in using multiple iterations a grid environment based on the multiple permutations” as does not explicitly teach the claimed limitation “forming multiple permutations of at least one of the user data, the business parameters and the set of model generation algorithms; and”.

King teaches Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE model is also referred to as a 9-Blocker tool (or in a more general case, a multi-blocker tool) (paragraph [0116]).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply King's teaching of Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE model is also referred to as a 9-Blocker tool to Thearling's system in order to provide a correct model corresponding to business problem.

18. Claims 1-4, 7-9, 11-12, 14-15, 19, 21-24, 27-29 and 30-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Cassuto et al (or hereinafter "Cassuto") (US 20020127529).

As to claims 1 and 21, Thearling teaches the claimed limitations:

"at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the data mining system comprising:" as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

" computerized data mining system" as (fig. 12);

" a data exploration system for receiving and analyzing user data to provide statistical information about the user data" as an application system for analysis and selection of stored information in a database. The database contains records correspond to individuals, the individual's age, address, and income. The database is provided that includes both training data and test data. The training data is provided to

a model builder 14 for computing a probability, e.g., a probability that a customer would respond favorably to a mailing. The above information shows that the system analyzes the customer data to provide probability as statistical about the customer data (col. 1, lines 33-34, lines 60-65; col. 2, lines 1-23);

“a customized model system for generating and ranking customized data mining models” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and

“for executing a selected customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36),

“wherein the customized data mining models are generated” as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“an existing model system for selecting at least one existing data mining model from a library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

“outputting a result” as (figs. 5 &6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto’s teaching of creating models in parallel using iterations based on algorithms to Thearling’s system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members

As to claims 2 and 22, Thearling teaches the claimed limitation “a data submission system for submitting the user data” as a database includes one or more tables, with rows of the table corresponding to individual records. The above information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20).

“a parameter designation system for designating the business parameters” as (col. 8, lines 25-33).

As to claim 3, Thearling teaches the claimed limitations:

“a model generation system for iteratively generating the customized data mining models in parallel based on the permutations of at least one of the user data, the business parameters and the set of model generation algorithms” as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“ a model ranking system for ranking the customized data mining models based on the business parameters” as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“ for identifying a predetermined quantity of the ranked customized data mining models” as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“a customized model selection system for selecting at least one customized mining model from the predetermined quantity” as the campaign manager could automatically select the order of models. The selection could be based, for example, on the anticipated computation time for scoring an individual record. Thus, those models that require less computation time may be selected before models, which require greater computation time (col. 13, lines 35-43);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as one of the models within the query is selected for evaluation (col. 13, lines 35-36).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto's teaching of creating models in parallel using iterations based on algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members

As to claim 4, Thearling teaches the claimed limitation:

“a model library system for assembling the library of existing data mining models based on the business parameters, and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models” as (fig. 8, col. 9, lines 40-43; col. 10, lines 61-62) ;



“an existing model selection system for selecting the at least one existing data mining model from the library of existing data mining models” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62);

“an existing model execution system for executing the at least one existing data mining model on the user data in parallel” as (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45);

a existing model comparison system for comparing results of the execution of the at least one existing data mining model” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected model is executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

As to claim 24, is rejected under the same reason as discussed in claim 4

As to claim 23 recites the same limitations as referred to claim 3. Therefore, claim 23 is rejected under the same rational.

Claim 28 is rejected under the same reason as discussed in claim 8.

As to claims 7, 9, 27 and 29, Thearling teaches the claimed limitation “wherein the computerized data mining system is implemented in a network environment” as (col. 2, lines 1-10).

As to claim 8, Thearling teaches the claimed limitations:

“at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the model generation system comprising:" as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

“ model generation system for generating the customized data mining models" as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

“a model ranking system for ranking the customized data mining models based on the business parameters" as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40),

“for identifying a predetermined quantity of the ranked customized data mining models" as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45), and “for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models" as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45);

“ for providing comparative data corresponding to the predetermined quantity of the ranked customized data mining models" as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one

of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“a customized model selection system for selecting at least one customized mining model of the customized data mining models” as regenerate and run the models against one or more records in a database in parallel not based on permutations of at least one of the user data, business parameters and a set of model generation algorithms (col. 8, lines 25-30);

“a customized model execution system for executing the selected at least one customized data mining model on the user data” as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62),

“outputting a result” as (figs. 5&6),

“for executing the selected at least one existing data mining model in parallel on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto's teaching of creating models in parallel using iterations based on algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members

As to claim 14, Thearling teaches the claimed limitations:

"providing user data and business parameters" as a database includes one or more tables, with rows of the table corresponding to individual records. The above information shows that the individual records had submitted to the system for storing in a database (col. 1, lines 18-20);

"generating a plurality of customized data mining models" as regenerate and run the models against one or more records in a database (col. 8, lines 25-30);

"ranking the plurality of customized data mining models based on the business parameters" as ranking models indicates that models are generated for ranking (col. 9, lines 40-43; col.13, lines 35-40), and;

"selecting at least one customized data mining model from the ranked plurality of customized data mining models"; a as selecting one of the models from the model library 78 of existing models (col. 9, lines 40-43; col. 10, lines 61-62), and

“executing the selected at least one customized data mining model on the user data” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto’s teaching of creating models in parallel using iterations based on algorithms to Thearling’s system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members

As to claim 15, Thearling teaches the claimed limitation "identifying a predetermined quantity of the ranked plurality of customized data mining models" as a model score is greater than 0.5 that indicates the model score is identified (col. 11, lines 40-45),

"providing comparative data corresponding to the predetermined quantity of the ranked plurality of customized data mining models, prior to the selecting step" as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45).

As to claim 11, Thearling teaches the claimed limitations:

"at least one processing unit; memory operably associated with the at least one processing unit; a data mining system storable in memory and executable by the at least one processing unit, the model selecting and executing system comprising:" as (fig. 1A-1B, col. 1, lines 63-67; col. 2, lines 1-30);

"a model library system for assembling a library of existing data mining models based on a business parameters and for displaying the library of existing data mining models and comparative data corresponding to the library of existing data models" as executing models in the library based on the business parameters (fig. 8; col. 9, lines 40-45);

“and existing model selection system for selecting a plurality of existing data mining models from the library of existing data mining models” as displaying modes and comparing data corresponding to modes (fig. 8);

“an existing model execution system for executing the plurality of existing data mining models on the user data in parallel” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).; and

“ an existing model comparing system for comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45),

“wherein the existing data mining models have been iteratively generated” as (col. 8, lines 15-25)

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations based on permutations of at least one of the user data, business parameters and a set of model generation algorithms”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto's teaching of creating models in parallel using iterations based on algorithms to Thearling's system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This features permits the user to quickly build large Models with hundreds or thousands of members.

As to claim 19, Thearling teaches the claimed limitations:

"providing user data and business parameters" as providing a database and other parameters as business parameters (col.1, lines 60-65; col. 2, lines 12-20);

" displaying the library of existing data mining models and comparative data corresponding to the library of data mining models" as displaying modes and comparing data corresponding to modes (fig. 8);

assembling a library of existing data mining models based on the business parameters" as executing models in the library based on the business parameters (col. 9, lines 40-45);

"selecting a plurality of existing data mining model from the library of existing data mining models" as one of the models within the query is selected for evaluation (col. 13, lines 35-36),



“executing the plurality of existing data mining model on the user data in parallel” as run the model against one or more records in a database. All models are run against the entire database, which includes records about customer data. The above information shows that the selected models are not executed in parallel on the customer data (col. 11, lines 19-22; col. 8, lines 25-30; col. 1, lines 40-45).; and

“comparing results of the execution of the at least one existing data mining model” as consider a simple query that requires only the Boolean operation AND of income greater than sixty thousand dollars and a model score (col. 11, lines 40-45),

“wherein the existing data mining models have been generated” as (col. 8, lines 25-30),

“outputting a result” as (figs. 5&6).

Thearling does not explicitly teach the claimed limitation “in parallel using multiple iterations”.

Cassuto teaches creating models in parallel using iterations based on algorithms (paragraphs 0005, 0053, 0106).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Cassuto’s teaching of creating models in parallel using iterations based on algorithms to Thearling’s system in order to achieve this task the user must set up multiple Working Areas to use as model build areas and further provide an expedient and convenient way to search through a Data Management System for a particular type of data residing at or above a given control level. This

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features permits the user to quickly build large Models with hundreds or thousands of members

Claim 30 is rejected under the same reason as discussed in claims 11 and 19.

As to claims 12 and 31, Thearling teaches the claimed limitation “wherein the at least one existing data mining model is executed on the user data in a grid environment” as (fig. 8).

19. Claims 5, 10, 18, 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of of Cassuto et al (or hereinafter “Cassuto”) (US 20020127529) and further in view of Mani et al (or hereinafter “Mani”) (US 6677963) and Hofmann (US 6687696).

As to claims 5, 10, 18, 25, Thearling teaches the claimed limitation “a set of model goals” as (fig. 10D). Thearling does not explicitly teach the claimed limitation “wherein the business parameters comprise a business taxonomy, a set of business problems”

Mani teaches business problems (col. 3, lines 65-67). Hofmann teaches the automatic categorization of documents categorizes the data into existing taxonomies (col. 17, lines 15-20).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Mani's teaching of business problem and Hofmann's teaching of automatic categorization of documents categorizes the data into existing taxonomies to Thearling's system in order to provide a set of categories of models along with the relevant document information or business problem so that a user can view/search the models easily in order.

20. Claims 6, 17 and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of of Cassuto et al (or hereinafter "Cassuto") (US 20020127529) and further in view of Miller (US 6553366) (or hereinafter "Miller66").

As to claims 6, 17 and 26, Thearling does not explicitly teach the claimed limitation " wherein the statistical information comprises data relationships, data outliers, invalid data values and standard deviations". Miller66 teaches statistical information includes relationships and standard deviations (col 7, lines 55-67).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Miller66's teaching of statistical information includes relationships and standard deviations to Thearling's system in order to perform data mining applications in a massively parallel relational database management system.

21. Claim 16 is rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of of Cassuto et al (or hereinafter "Cassuto") (US

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20020127529) and further in view of King Jr et al (or hereinafter “King”) (US 20020042731).

As to claim 16, Thearling does not explicitly teach the claimed limitation

“generating a plurality of customized data mining models using multiple iterations in a grid environment based on the multiple permutations; forming multiple permutations of at least one of the user data, the business parameters and the set of model generation algorithms”.

King teaches Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE model is also referred to as a 9-Blocker tool (or in a more general case, a multi-blocker tool) (paragraph [0116]).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply King’s teaching of Business strength may also depend on multiple factors, such as market position, margin, technology position, size, growth potential, environmental record, etc. The two axes, each divided into three gradations, define nine different permutations of criteria within the grid itself. As such, the GE model is also referred to as a 9-Blocker tool to Thearling’s system in order to provide a correct model corresponding to business problem.

22. Claims 13, 20 and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thearling (US 6240411) in view of Cassuto et al (or hereinafter "Cassuto") (US 20020127529) and further in view of Mani et al (or hereinafter "Mani") (US 6677963) and Hofmann (US 6687696).

As to claims 13, 20 and 32, Thearling teaches the claimed limitation "a set of model goals" as (fig. 10D). Thearling does not explicitly teach the claimed limitation "wherein the business parameters comprise a business taxonomy, a set of business problems"

Mani teaches business problems (col. 3, lines 65-67). Hofmann teaches the automatic categorization of documents categorizes the data into existing taxonomies (col. 17, lines 15-20).

It would have been obvious to a person of an ordinary skill in the art at the time the invention was made to apply Mani's teaching of business problem and Hofmann's teaching of automatic categorization of documents categorizes the data into existing taxonomies to Thearling's system in order to provide a set of categories of models along with the relevant document information or business problem so that a user can view/search the models easily in order.

### ***Conclusion***

23. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Levinson et al (US 2003/0059837).

### **Contact Information**

24. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cam Y T. Truong whose telephone number is (571) 272-4042. The examiner can normally be reached on Monday to Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on (571) 272-4107. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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/Cam Y Truong/  
Primary Examiner, Art Unit 2162